

2184/ITW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

Application No.: 09/888,082

Filed: June 22, 2001

For: **DYNAMIC CONTROL GRAPHS FOR
ANALYSIS OF
COORDINATION-CENTRIC
SOFTWARE DESIGNS**

Art Group: 2184

Examiner: Unknown

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: September 14, 2004



Gregory D. Caldwell, Reg. No. 39,926

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Gayle M. Bekish

09-14-04

Date



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | |
|--|---------------|
| Application No. | 09/888,082 |
| Filing Date | June 22, 2001 |
| First Named Inventor | |
| Art Unit | 2184 |
| Examiner Name | Unknown |
| Attorney Docket Number | 42390P18906 |
| Total Number of Pages in This Submission | |

ENCLOSURES (check all that apply)

| | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div>Copies of 12 Cited refs. Return Postcard</div> |
| Remarks | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|--|
| Firm or Individual name | Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature | |
| Date | September 14, 2004 |

CERTIFICATE OF MAILING/TRANSMISSION

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| Typed or printed name | Gayle M. Bekish | | |
| Signature | | Date | September 14, 2004 |

FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known

Application Number 09/888,082
Filing Date June 22, 2001
First Named Inventor
Examiner Name Unknown
Art Unit 2184
Attorney Docket No. 42390PT8906

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None
☐ Deposit Account

Deposit
Account
Number

02-2666

Deposit
Account
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 770 | 2001 | 385 | Utility filing fee | |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | (\$) |

2. EXTRA CLAIM FEES

Total Claims 20** = X =
Independent Claims 3 = X =
Multiple Dependent =

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 | |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 | |
| 1203 | 290 | 2203 | 145 | Multiple Dependent claim, if not paid | |
| 1204 | 86 | 2204 | 43 | **Reissue independent claims over original patent | |
| 1205 | 18 | 2205 | 9 | **Reissue claims in excess of 20 and over original patent | |
| SUBTOTAL (2) | | | | | (\$) |

**or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 2053 | 130 | 2053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for ex parte reexamination | |
| 1804 | 920 * | 1804 | 920 * | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840 * | 1805 | 1,840 * | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| 1254 | 1,480 | 2254 | 740 | Extension for reply within fourth month | |
| 1255 | 2,010 | 2255 | 1,005 | Extension for reply within fifth month | |
| 1404 | 330 | 2401 | 165 | Notice of Appeal | |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| 1451 | 1,510 | 2451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,330 | 2453 | 665 | Petition to revive - unintentional | |
| 1501 | 1,330 | 2501 | 665 | Utility issue fee (or reissue) | |
| 1502 | 480 | 2502 | 240 | Design issue fee | |
| 1503 | 640 | 2503 | 320 | Plant issue fee | |
| 1460 | 130 | 2460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 770 | 1809 | 385 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 770 | 2810 | 385 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 770 | 2801 | 385 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |
| Other fee (specify) _____ No. Fee _____ | | | | | 0.00 |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) Gregory D. Caldwell

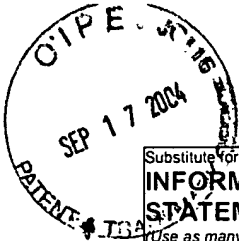
Registration No. (Attorney/Agent) 39,926

Telephone (503) 439-8778

Signature

Date 09/14/04

Based on PTO/SB/17 (10-03) as modified by Blakely, Sokoloff, Taylor & Zafman (w/r) 02/10/2004.
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

| | |
|----------------------|----------------|
| Application Number | 09/888,082 |
| Filing Date | June 22, 2001 |
| First Named Inventor | HINES, Kenneth |
| Group Art Unit | 2122 |
| Examiner Name | Unknown |

Sheet 1 of 2

Attorney Docket No: 42P18906

US PATENT DOCUMENTS

| Examiner Initial * | USP Document Number | Publication Date | Name of Patentee or Applicant of cited Document | Class | Subclass | Filing Date If Appropriate |
|--------------------|---------------------|------------------|---|-------|----------|----------------------------|
| | US-5,581,691 | 12/03/1996 | HSU, ET AL. | 395 | 182.13 | 08/18/1995 |
| | US-5,794,046 | 08/11/1998 | MEIER, ET AL. | 395 | 704 | 06/05/1997 |
| | US-5,819,270 | 10/06/1998 | MALONE, ET AL. | 707 | 7 | |
| | US-5,870,588 | 02/09/1999 | ROMPAEY, ET AL. | 395 | 500 | 10/23/1996 |
| | US-5,920,717 | 07/06/1999 | NODA, ET AL. | 395 | 701 | 12/18/1996 |
| | US-6,038,381 | 03/14/2000 | MUNCH, ET AL. | | | 11/25/1997 |
| | US-6,052,527 | 04/18/2000 | DELCOURT, ET AL. | 395 | 705 | 02/10/1998 |
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| | US-6,125,392 | 09/26/2000 | LABATTE, ET AL. | 709 | 224 | 10/11/1996 |
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| | US-6,347,374 | 02/12/2002 | DRAKE, ET AL. | 709 | 224 | 06/05/1998 |
| | US-6,539,501 | 03/25/2003 | EDWARDS, J C. | 717 | 128 | 12/16/1999 |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Foreign Document No | Publication Date | Name of Patentee or Applicant of cited Document | Class | Subclass | T ² |
|--------------------|---------------------|------------------|---|-------|----------|----------------|
|--------------------|---------------------|------------------|---|-------|----------|----------------|

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

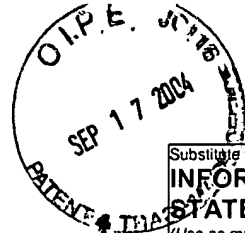
| Examiner Initials* | Cite No ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------|----------------------|---|----------------|
| | | BARRETT, et al., "A framework for event-based software integration", <u>ACM Transactions on software engineering and methodology</u> , 5(4), (1996),378-421 | |
| | | BORNING, A , et al., "CLASSES VERSUS PROTOTYPES IN OBJECT-ORIENTED LANGUAGES", FALL JOINT COMPUTER CONFERENCE, (1986), | |
| | | CHOU, P , "CONTROL COMPOSITION AND SYNTHESIS OF DISTRIBUTED REAL-TIME EMBEDDED SYSTEM", <u>PH.D. THESIS, UNIVERSITY OF WASHINGTON</u> , (1998), | |
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| | | GELERNTER, D , "GENERATIVE COMMUNICATION IN LINDA", <u>ACM TRANSACTIONS ON PROGRAMMING LANGUAGES AND SYSTEMS</u> , 7(1), (1986), | |

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached



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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
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| | |
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| Application Number | 09/888,082 |
| Filing Date | June 22, 2001 |
| First Named Inventor | HINES, Kenneth |
| Group Art Unit | 2122 |
| Examiner Name | Unknown |

Sheet 2 of 2

Attorney Docket No: 42P18906

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|-----------------------|--------------------------|---|----------------|
| | | GUL, AGHA , "CONCURRENT OBJECT-ORIENTED PROGRAMMING", COMMUNICATIONS OF THE ACM, VOL. 33, NO. 9, (9/1990),125-141 | |
| | | LIEBERMAN, H , "USING PROTOTYPICAL OBJECTS TO IMPLEMENT SHARED BEHAVIOR IN OBJECT ORIENTED SYSTEMS", <u>OOPSLA '86 PROCEEDINGS</u> , (1986), | |
| | | SELIC, B , "USING UML FOR MODELING COMPLEX REAL-TIME SYSTEMS", (1998),246-256 | |
| | | TALLMAN, O , et al., "COM VERSUS CORBA: A DECISION FRAMEWORK", <u>DISTRIBUTED COMPUTING</u> , (1998), | |

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.¹ Applicant's unique citation designation number (optional) ² Applicant is to place a check mark here if English language Translation is attached